



12-05-01

Page 1 of 1

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/921,296	08/02/2001	Leung	HRL069

CONFIRMATION NO. 5643

FORMALITIES LETTER



OC000000006539595

Tope-McKay & Associates
23852 Pacific Coast Highway #311
Malibu, CA 90265

Date Mailed: 09/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

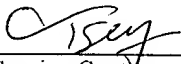
FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$36.
 - \$36 for 2 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 876.**

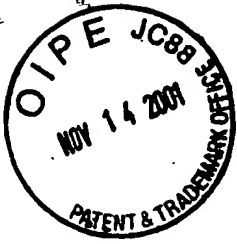
*A copy of this notice **MUST** be returned with the reply.*


Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12/07/2001 EXAMINER 03000373 09921295

740.00 SP
150.00 SP
35.00 SP



#4

PATENT
HRL069

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Leung et al.

Serial No.: 09/921,296

Group Art Unit: 2681

Filed: 8/2/2001

Examiner:

For: Apparatus and Method for Context-Sensitive Dynamic Information Service Composition via Mobile and Wireless Network Communication

Hon. Assistant Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Applicant petitions for acceptance of the declarations for this application without the signature of Kelvin Leung, whose most recent known address is entered into the declaration form.

Mr. Leung was contacted numerous times over the past several months regarding signing the declaration for this application as well as the assignment. The papers were both faxed and mailed to him via postal mail. Attempts to contact Mr. Leung have met with no response, the most recent of such attempts being on October 3, 4, 5, and 10 as well as November 10. Contact attempts have also been attempted via e-mail with no greater success.

Therefore, because of Mr. Leung's apparent unavailability for signing the documents, the remaining Applicants petition for acceptance of the declarations for this application.

In the event the Reviewer wishes to discuss any aspect of this response, please contact the undersigned at the telephone number indicated below.



Respectfully submitted,

A handwritten signature in black ink, appearing to be "Cary Tope-McKay", written over a horizontal line.

Cary Tope-McKay
Registration No. 41,350

Tope-McKay & Associates
23852 Pacific Coast Highway #311
Malibu, CA 90265
310.589.8158 ph
310.943.2736 fax
cmckay@topemckay.com



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1036.00

Complete if Known

Application Number	09/921/296
Filing Date	8/2/2001
First Named Inventor	Leung
Examiner Name	
Group Art Unit	2681
Attorney Docket No.	HRL069

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number
Deposit Account Name

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity	Small Entity	Fee Description	Fee Paid
Code (\$)	Code (\$)	Code (\$)		
101 710	201 355		Utility filing fee	<input type="text"/>
106 320	206 160		Design filing fee	<input type="text"/>
107 490	207 245		Plant filing fee	<input type="text"/>
108 710	208 355		Reissue filing fee	<input type="text"/>
114 150	214 75		Provisional filing fee	<input type="text"/>

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims Extra Claims Fee from below Fee Paid
Independent Claims - 20** = X =
Multiple Dependent Claims - 3** = X =

	Large Entity	Small Entity	Fee Description
Code (\$)	Code (\$)	Code (\$)	
103 18	203 9		Claims in excess of 20
102 80	202 40		Independent claims in excess of 3
104 270	204 135		Multiple dependent claim, if not paid
109 80	209 40		** Reissue independent claims over original patent
110 18	210 9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

	Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
105 130	205 65		Surcharge - late filing fee or oath	<input type="text"/>
127 50	227 25		Surcharge - late provisional filing fee or cover sheet	<input type="text"/>
139 130	139 130		Non-English specification	<input type="text"/>
147 2,520	147 2,520		For filing a request for <i>ex parte</i> reexamination	<input type="text"/>
112 920*	112 920*		Requesting publication of SIR prior to Examiner action	<input type="text"/>
113 1,840*	113 1,840*		Requesting publication of SIR after Examiner action	<input type="text"/>
115 110	215 55		Extension for reply within first month	<input type="text"/>
116 390	216 195		Extension for reply within second month	<input type="text"/>
117 890	217 445		Extension for reply within third month	<input type="text"/>
118 1,390	218 695		Extension for reply within fourth month	<input type="text"/>
128 1,890	228 945		Extension for reply within fifth month	<input type="text"/>
119 310	219 155		Notice of Appeal	<input type="text"/>
120 310	220 155		Filing a brief in support of an appeal	<input type="text"/>
121 270	221 135		Request for oral hearing	<input type="text"/>
138 1,510	138 1,510		Petition to institute a public use proceeding	<input type="text"/>
140 110	240 55		Petition to revive - unavoidable	<input type="text"/>
141 1,240	241 620		Petition to revive - unintentional	<input type="text"/>
142 1,240	242 620		Utility issue fee (or reissue)	<input type="text"/>
143 440	243 220		Design issue fee	<input type="text"/>
144 600	244 300		Plant issue fee	<input type="text"/>
122 130	122 130		Petitions to the Commissioner	130.00
123 50	123 50		Processing fee under 37 CFR 1.17(q)	<input type="text"/>
126 180	126 180		Submission of Information Disclosure Stmt	<input type="text"/>
581 40	581 40		Recording each patent assignment per property (times number of properties)	<input type="text"/>
146 710	246 355		Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>
149 710	249 355		For each additional invention to be examined (37 CFR § 1.129(b))	<input type="text"/>
179 710	279 355		Request for Continued Examination (RCE)	<input type="text"/>
169 900	169 900		Request for expedited examination of a design application	<input type="text"/>

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130.00

SUBMITTED BY

Name (Print/Type)	Cary Tope-McKay	Registration No. (Attorney/Agent)	41,350	Telephone	(310) 291-0390
Signature		Date	11/10/2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1036.00

Complete if Known

Application Number	09/921/296
Filing Date	8/2/2001
First Named Inventor	Leung
Examiner Name	
Group Art Unit	2681
Attorney Docket No.	HRL069

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number
Deposit Account Name

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims -20** = X =
Independent Claims - 3** = X =
Multiple Dependent =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	222 130	Petitions to the Commissioner	130.00
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

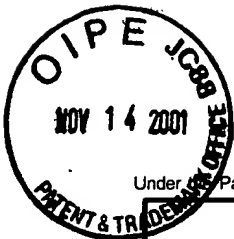
SUBTOTAL (3) (\$ 130.00

SUBMITTED BY

Name (Print/Type)	Cary Tope-McKay	Registration No. (Attorney/Agent)	41,350	Telephone	(310) 291-0390
Signature		Date	11/10/2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/93 (10-96)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Certificate under 37 CFR 1.10 of Mailing by "Express Mail" ,

ET228047860US

"Express Mail" label number

November 10, 2001

Date of Deposit

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.


Signature of person mailing correspondence

Cary Tope-McKay

Typed or printed name of person mailing correspondence

Note: Each paper must have its own certificate of mailing by "Express Mail".